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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/757,472 Confirmation No. : 4145  
First Named Inventor : Kazuki HAYASHIBARA  
Filed : January 15, 2004  
TC/A.U. : 2655  
Examiner : Unassigned  
Docket No. : 010482.53148US  
Customer No. : 23911  
Title : Optical Disc Apparatus

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

**I. Time Period of Submission**

This Information Disclosure Statement is submitted:

1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

- a Statement under 37 C.F.R. § 1.97(e); or
- a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

**II. Statement Under 37 C.F.R. § 1.97(e)**

I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

**III. Statement under 37 C.F.R. § 1.704(d)**

I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

**IV. Submission of Non-English Language Documents**

The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

The relevance of document(s) \_\_\_\_\_ to the subject matter of the present invention is/are provided in the specification of the above-identified application.

Corresponding foreign or international report citing the documents listed on the PTO 1449 as AB-AC and AE-AJ, together with an English-language translation, indicating the degree of relevance found by the foreign office is submitted.

English language family member publication(s) of document(s) \_\_\_\_\_ is/are noted on Form PTO-1449.

English language abstracts are submitted for the documents listed on the PTO 1449 as AB, AE, and AG-AJ.

English translation(s) of the foreign language document(s) \_\_\_\_\_ is/are submitted herewith.

Applicant submits the following explanations:

International publication No. WO 97/14149, listed on the PTO 1449 as AD corresponds to Japanese publication No. JP 11-500254, listed on the PTO 1449 as AC.

U.S. Patent No. 6,483,988, listed on the PTO 1449 as AA corresponds to Japanese publication No. JP 2000-123486, listed on the PTO 1449 as AF.

V. Continuations/Divisionals

Documents \_\_\_\_\_ were of record in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent application.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 010482.53148US, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

February 9, 2006

  
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Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/757,472
<i>(use as many sheets as necessary)</i>				Filing Date	January 15, 2004
Sheet	1	of	1	First Named Inventor	Kazuki HAYASHIBARA
				Art Unit	2655
				Examiner Name	Unassigned
				Attorney Docket Number	010482.53148US

<b>U.S. PATENT DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
AA		US- 6,483,988	11-19-2002	Tadashi Noguchi et al.	

<b>FOREIGN PATENT DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)			
AB		JP 10-106167	04-24-1998	Toshiba Corp.	AB
AC		JP 11-500254	01-06-1999		
AD		WO 97/14149	04-17-1997	Phillips Electronics N.V.	
AE		JP 08-287616	11-01-1996	Matsushita Electric Ind. Co. Ltd.	AB
AF		JP 2000-123486	04-28-2000		
AG		JP 2001-126377	05-11-2001	Kenwood Corp.	AB
AH		JP 2000-293951	10-20-2000	Pioneer Electronic Corp.	AB
AI		JP 11-096653	04-09-1999	Toshiba Corp.	AB
AJ		JP 11-266432	09-28-1999	Pioneer Electronic Corp.	AB

<b>NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T <sup>2</sup>
	AK	Japanese Office Action dated December 9, 2005 with English translation			

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.